

**State of California, Secretary of State**  
**Minutes of the CLAIMS User's Group Meeting**  
December 9, 1999  
Secretary of State's Office, Sacramento, CA

**In attendance were:**

Caren Daniels-Meade, Political Reform Division  
Steve Kawano, Information Technology Department  
David Harris, Information Technology Department  
John Keplinger, Political Reform Division  
Lisa Leong, Political Reform Division  
Harvey Tsuboi, Political Reform Division  
Jeannette Lehman, Political Reform Division  
Debra McCastle, Political Reform Division  
Pam Banford, Political Reform Division  
Gail Kurimoto-Jackson, Political Reform Division  
Wayne Cox, SAIC  
John Krivacic, Booz-Allen & Hamilton  
Gloria Marsh, SAIC  
Mike Shulem, Data+ Imagination  
Jerry Nottleson, Franchise Tax Board  
David Montgomery, Netfile  
Kerry Murphy, Nielsen Merksamer  
Virginia Crespo, League of Women Voters  
Carla Wardlow, Fair Political Practices Commission  
Hyla Wagner, Fair Political Practices Commission  
Sarah Gilmer, Olson, Hagel et al  
Sheila Scally, Olson, Hagel et al  
Lap Tam, Olson, Hagel  
Rick Ehrlinspiel, RunForOffice.com  
Cha Cha Brown, California Democratic Party  
Thom Murk, E&J Gallo  
Cynthia Bryant, Senator Johnson's Office

Distributed were a copy of the Cal format release/revision 1.04 modifications, Form 460- Recipient Committee Campaign Statement, and Form 461- Major Donor and Independent Expenditure Committee Campaign Statement.

## Meeting Overview:

Steve Kawano, Project Manager from the ITD side of the Secretary of State, presented the meeting overview:

- ◆ CAL and X.12 Filing Format Questions
- ◆ Electronic Filing Vendor Testing and Approval Process
- ◆ Vendor Fair – December 15, 1999, from 10:00 – 4:00
- ◆ Open Discussion/Discussions

## Introductions:

- ◆ Campaign & Lobbyist Automated Information Management System (CLAIMS) Team Members
- ◆ Caren Daniels-Meade, Chief, Political Reform Division (PRD)
- ◆ David Hulse, Project Manager, Political Reform Division (PRD)
- ◆ Steve Kawano, Project Manager, Information Technology Division (ITD)
- ◆ Wayne Cox, Project Manager, Science Applications International Corporation (SAIC)
- ◆ David Harris, Internet Developer, Information Technology Division (ITD)
- ◆ Lisa Eichler, Internet Developer, Science Applications International Corporation (SAIC)

## CAL and X.12 Filing Format Questions:

Prepare and accept the X.12 format for all 30 forms for the January 22, 2000 – January 27, 2000 filing period, using Sterling Commerce translator software. Close to approval for successful transmittal of the X.12 format. We currently have the whole suite for the Implementation Conventions covering all the forms that are posted on the Internet. Also, please note that San Francisco Ethics Commission has adopted CAL as their electronic filing format for the City of San Francisco as of last Monday.

The release of CAL format version 1.04 is fast approaching and group discussed minor changes that have taken place since the last User's Group meeting.

- ◆ On CVR3, of the Form 460, it did not recognize the Assistant Treasurer – This has been fixed in the validator, a new version of the validator to be released this afternoon.
- ◆ Print engine changing the sub-total has been corrected.
- ◆ Committee ID on Schedule D, Form 460 is not required and still needs to be modified and changed into CAL.

- ◆ Two entity codes have been added to the Form 602 filing, Member of Association and Entity code.
- ◆ Page 65 clarifies that CVR2 records in a Form 602 filing are used to carry both the names of the of sub-contracted clients.
- ◆ On Form 498 cover record there was no place to store the employer occupation code. The three fields have been added.
- ◆ Cover 2, entity name; Entity Name fields #7-10 now refer to “Entity” rather than to just “Candidate”. These fields are used for more than just candidate names. (This is a document change only.)
- ◆ Removed “CAO-candidate/officeholder” from list of acceptable entity\_Cd values of a Form 410 CVR (cover page) because Form 410 Statements of Organization is for recipient committees only. The entity can never be a candidate/officeholder.

## COMMENTS/CONCERNS:

Cynthia Bryant expressed a concern via e-mail to Wayne regarding the Interest Only Payment – Wayne forwarded to Malcolm Cummings for resolution.

## Electronic Filing Vendor testing and Approval Process:

Plans to publish the text description of the testing and approval process on the Internet are currently underway.

The current process for electronic Filing vendor testing and approval process:

- ◆ Step 1 – File an Intent for Approval (available on the Internet)
- ◆ Step 2 – Establish the entity, i.e. create information (hand-written) then fax information to the Political Reform Division and generate a password and ID number
- ◆ Step 3 – Begin test filings
- ◆ Step 4 – Release of the next set of forms for the approval process

Please note the validation process means the user and the Secretary of State’s interfaces are working together.

Steve Kawano, Information Technology, emphasized the importance in communication between the users/vendors and Secretary of State. If problems/issues or concerns arise, users/vendors are encouraged to contact: Steve Kawano, (916) 558-8737 (pager); Miguel Castillo, (916) 653-8285; ITD Help Desk, (916) 653-8905; and/or Caren Daniels-Meade, (916) 657-2133. Steve to e-mail users/vendors the appropriate lines of communication after the holidays.

Cynthia Bryant expressed some concerns regarding the ID’s and passwords – Steve assured group the committee is currently discussing the policy and will make a decision

no later than the last week of December. Sheila Scally had a concern with the confirmation with the test filings – Steve indicated that the confirmation would provide filer information so the provider will know what filers' reports were received.

David Montgomery asked that a written certification process be provided so all parties know what's expected of them. Criteria for validation and certification will be provided.

A question concerning the certification document arose. Will there be a pass/fail listing? Anticipate providing the document no later than next week. The Secretary of State will not impose a timeline, i.e., if a vendor submits documents for certification on December 26, we will work with the vendors even if it's the day before the filing deadline. This will be an on-going certification process.

Group asked Secretary of State to get the data sets to all vendors who intend to be approved and Secretary of State promised to do so within 48 hours. Group also asked for data sets to use 2000-year dates. Secretary of State will change them accordingly.

We anticipate having all vendors who are certified posted on the Internet.

Mike Shulem, Data+ Imagination expressed concern regarding the potential misuse of the software in a way it was not intended. i.e., a filing getting through the validator, but the information is incomplete. Steve will look into policy issue to prevent inaccurate information from the validator.

A question arose regarding the possibility of having the Secretary of State's Office send to the vendors sample data sets for the certification process. The Secretary of State's Office will mail out sample data sets to all vendors.

David Montgomery asked for a way to use CAL without using the CAL utility loader. Secretary of State will get the information from SDR and post it to the web site, since Netfile does direct transmission from their server to the Secretary of State server.

Caren Daniels-Meade updated group on the upcoming Vendor Fair, which is scheduled for Wednesday, December 15, from 10:00 am to 4:00 pm, in the Multi-Purpose Room in the Secretary of State's Office. Currently we have six vendors who will be demonstrating their products. There will be handouts of filing requirements, schedules/deadlines, list of vendors and others who intend to be approved for electronic filing, copies of relevant legislation, as well as Secretary of State Political Reform Division staff and FPPC staff will be available to answer technical questions. Group asked that a list of who had begun testing also be provided.

Caren also updated group on the Statecraft Lawsuit. The lawsuit will be heard on December 17.

The 30-day cut-off pre-filing certification requirement we had previously suggested as a deadline is no longer a requirement; we will accept testings in an effort to achieve approved status up to the filing deadline if necessary.

David Montgomery would like to have a copy of the specs. This will be provided to everyone as well as posted on the web.

It was clarified that special election filings need not currently be filed electronically. A question regarding where the 490 A data will now go – 460 A1 appendix?

Steve reported on the system testing. We are currently in the process of moving from the test to production environment (database and disclosure screens) in mid January. Currently the 460 A included in 460 (also known as the 490 A) will not be required for electronic filing. A question arose regarding the March 7 filing, and if it is subject to electronic filing? Caren will check into.

A question arose regarding test filings and the availability to view on the web. Wayne assured group that the test filings have not been made public. A suggestion was made to have a protected directory for the vendors. Committee will review suggestion.

#### Contacts:

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Group elected to have the next User's Group Meeting after the first filing deadline sometime during the first week of February, so we can evaluate how things worked.

Meeting adjourned 11:00 a.m.

Respectfully submitted,

Joyce Geerling  
Executive Assistant, Political Reform Division